

APPENDIX C.I: DETAILED PROJECT PLAN

Instructions: Each Contractor is required to prepare and submit an initial Detailed Project Plan. Some sections of the plan require ongoing updates that are in accordance with the Major Milestone Schedule (Schedule A). The Detailed Project Plan format must follow this outline:

1. Executive Summary – This section summarizes at the executive level the Contractor's scope of work for the Takeover project.
2. Approach – This section states the Contractor's approach to the Takeover.
3. Project Major Milestones Schedule – This section uses 'Schedule A' Project Major Milestones Schedule and the required time frames for completion. The Schedule A table provides input for Contractors to compile an MS-Project work plan. The Contractor work plan must roll up to milestones in a DMAS Master Project Work Plan. The Contractor should expand on the high level plan submitted with their proposal.
4. Performance Summary – This section uses 'Schedule B' as a template for reporting progress on project tasks, completion of deliverables, and at risk activities.
5. Set Up_– This section includes 'Schedules C – H' of set-up activities for each Contractor.
6. Risk Management – This section uses 'Schedule I' for capturing and reporting the risk management approach that will be used for the Takeover Phase of the project.
7. Quality Assurance – This section uses 'Schedule J' for outlining the Quality Assurance plans and accommodates the Independent Verification and Validation (IV&V) activities that will need to be accommodated for the Takeover project.
8. Change Management – This section uses 'Schedule K' for outlining the Change Management Plan that will be used for the Takeover Phases of the project.
9. Security Management – This section uses 'Schedule L' for capturing and reporting the security management approach that will be used for the Takeover Phase of the project.

APPENDIX C.I: SCHEDULE A
PROJECT MAJOR MILESTONES SCHEDULE

Phases	Milestone /Deliverable	Completion / Updates	Reference
Initiation			
	Project Proposal - Input to DMAS prepared deliverable	TBD – Prior to Contract Award	
	Project Charter – Input to DMAS prepared deliverable	TBD - Prior to Contract Award	
Planning			
	Contractor Management Team Organization Chart	2 Weeks after contract	
	Detailed Project Plan		
	Executive Summary	1 time with initial submission	
	Approach	1 time with initial submission	
	MS-Project Work Plan from the Milestones chart	6 weeks after contract signed and each week thereafter	
	Performance Reporting Summary	6 weeks after contract signed and each week thereafter	
	Staff Acquisition Update	6 weeks after contract signed and each week thereafter	
	Facility Acquisition Update	6 weeks after contract signed and each week thereafter until phase end	
	Hardware and Equipment Acquisition Update	6 weeks after contract signed and each week thereafter until phase end	
	Software Acquisition and Installation Update	6 weeks after contract signed and each week thereafter until	

Phases	Milestone /Deliverable	Completion / Updates	Reference
		phase end	
	Data Takeover Update	6 weeks after contract signed and each week thereafter until phase end	
	Documentation Takeover and Updates Plan	12 weeks after contract signed and each week thereafter	
	Risk Management Plan	16 weeks after contract signed and each week thereafter	
	Quality Management Plan	16 weeks after contract signed and each week thereafter	
	Security Plan	12 weeks after contract signed and each week thereafter	
	Change Management	20 weeks after contract signed and each week thereafter	
Execution and Control			
	Detailed Project Plan - Updates		
	MS-Project Work Plan Update	Once a week	
	Performance Reporting Update	Once a week	
	Staff Acquisition Update	Once a week	
	Documentation Plan Update	Once a week	
	Risk Management Plan	Once a week	
	Security Plan	Once a week	
	Quality Management Plan	Once a week	
	Training Plan (Takeover)	4 months before Implementation	
	Test Plan	3 months after contract signed, Updated monthly	
	Project Implementation Plan	3 months before Implementation	

Phases	Milestone /Deliverable	Completion / Updates	Reference
	Operations Takeover Plan	5 months before Implementation, Updated monthly	
Closeout			
	Project Closeout Report Contractor Input Only	3 months Post-Implementation	
Evaluation			
	Project Evaluation Contractor Input Only	1 Year Post - Implementation	
Operations		Final Version	
	Quality Management Plan	2 months before Implementation - Updated as needed	
	Document / Documentation Plan	2 months before Implementation - Updated as needed	
	Change Management Plan	2 months before Implementation - Updated as needed	
	Risk Management Plan	2 months before Implementation - Updated as needed	
	Training Plan	2 months before Implementation - Updated as needed	
	Security Plan	4 months before Implementation - Updated as needed	
	Communications and Performance Reporting Plan	2 months before Implementation - Updated Weekly	
	SLA Reporting Application	4 months before Implementation	
	Disaster Recovery Plan	4 months before Implementation – Updated as needed	
	Continuity of Operations Plan	4 months before Implementation – Updated as needed	
	Turnover Plan	Per Contract	

Appendix C.I: Schedule B Performance Reporting Summary

Instructions: Each Contractor is required to submit a Performance Reporting Summary for the Takeover project. The format must follow this outline:

1. Project Header Information – This section includes project name, reporting period, report prepared date, report prepared by name, contractor sponsor, contractor project manager, meeting location, total of planned hours, and total of actual hours.
2. Accomplishments / Decisions – This section includes high level project summary % complete. Also, any information regarding project stakeholders is summarized.
3. Project Phase – This section summarizes progress on the planned project activities for this period.
4. Project Deliverables complete – This section identifies deliverables that have been completed for this period.
5. Project Deliverables late or anticipated late – This section identifies deliverables that are behind schedule or are anticipated to be behind. A remedy to resolve project late deliverables is included.
6. Project Risks/Issues/Next Steps or Corrective Actions – This section includes project risks, issues, next steps or corrective actions to mitigate the risks.
7. Planned Activities for the next reporting period – This section highlights the upcoming activities and deliverables for the next reporting period.
8. Project Footer Information – This section identifies the next meeting date and location.

Minutes:

Each contractor will be required to provide previous meeting minutes, action items, and issues resulting from the previous reporting period meeting.

APPENDIX C.I: SCHEDULE C STAFFING ACQUISITION PLAN

Instructions: Each Contractor is required to submit a Staffing Acquisition Plan as part of the Detailed Project Plan. The Full Time Equivalent (FTE) is based on a 40 hour work week and excludes non-productive time (i.e. vacations, etc). The Staffing Acquisition Plan must contain the following:

1. Planned Summary - An MS-Excel Spreadsheet with the following information:
 - Column 1 – Resource Role / Group
 - Column 2 – Project Responsibility
 - Column 3 – Skills Required
 - Column 4 – Number of FTE Resources for this Phase
 - Column 5 – Estimated Start Date
 - Column 6 – Duration Required.
2. Actual Detail - An MS-Excel Spreadsheet with the following information:
 - Column 1 – Resource Role
 - Column 2 – Resource Name
 - Column 3 – Actual Start Date
 - Column 4 – Fractional FTE time assigned to project phase (1.0 = 100%)
 - Column 5 – Actual Numbered Resource FTE versus Planned FTE for this Phase (i.e. 6.5 /10)
 - Sub Total Row – Total Resources (FTE) Acquired versus Total Resources (FTE) Planned by Phase
 - Total Row - Total Resources Acquired (FTE) versus Total Resources (FTE) Planned by Project to date.

APPENDIX C.I: SCHEDULE D FACILITY ACQUISITION PLAN

Instructions: Each Contractor is required to submit a Schedule D, Facility Acquisition Plan as part of the Detailed Project Plan. The Facility Acquisition Plan must contain the following:

Contractor Support Services:

- Permanent Facility Location – Street mailing address, city, state, zip;
- Permanent Facility Date of Occupancy – XX/XX/XXXX;
- Permanent Facility length of occupancy – The duration of the long term facility agreement;
- Temporary Facility – If a temporary facility is occupied, identify the location;
- Temporary Length of Occupancy – The expected duration the temporary facility will be occupied; and
- Contact(s) information – The contact numbers at the facility to reach key management team members.

Contractor Technical Support Services (If Contractor's technology environment is not at support services location):

- Facility Location – Street address, city, state, zip;
- Facility Date of Occupancy – XX/XX/XXXX ; and
- Length of Occupancy – The expected duration that the facility will be occupied.

Platform Management:

- Location of Data Center - Street address, city, state, zip;
- Facility Date of Occupancy – XX/XX/XXXX; and
- Length of Occupancy – The expected duration that the facility will be occupied.

APPENDIX C.I: SCHEDULE E HARDWARE AND EQUIPMENT ACQUISITION PLAN

Instructions: Each Contractor is required to submit a Hardware and Equipment Acquisition Plan as part of the Detailed Project Plan. The Contractor may choose format, structure, and content as long as it, at a minimum, contains the required basic information and is importable into MS Excel or MS Project, version to be agreed upon by DMAS.

1. Planned Summary Information:
 - Facility/Data Center Location;
 - Major Equipment Item;
 - Planned Acquisition/Purchase Completion Date;
 - Planned Installation/Setup Completion Date; and
 - Planned Operational Readiness Date.
2. Actual Detail Information:
 - Facility/Data Center Location;
 - Major Equipment Item;
 - Purchase Order Reference Number;
 - Supplier;
 - Expected Delivery Date;
 - Receipt date;
 - List of License and Maintenance agreements: and
 - Summary Count of Over-due Items.

APPENDIX C.I: SCHEDULE F SOFTWARE ACQUISITION AND INSTALLATION PLAN

Instructions: Each Contractor is required to submit a Software Acquisition and Installation Plan as part of the Detailed Project Plan. The Contractor may choose format, structure, and content as long as it, at a minimum, contains the required basic information. The plan must be importable into MS Excel or MS Project, version to be agreed upon by DMAS.

1. Planned Summary Information:
 - Facility/Data Center Location;
 - Software Item;
 - Type of Software (COTS, MMIS custom, contractor proprietary);
 - Planned Acquisition/Purchase Date;
 - Planned Installation/Setup Date; and
 - Planned Operational Readiness Date.

2. Actual Detail Information:
 - Facility/Data Center Location;
 - Software Item;
 - Purchase Order Reference Number;
 - Update and support agreement reference number with all COTS packages and required software tools;
 - Supplier;
 - Expected Delivery Date;
 - Receipt Date;
 - Installation and Setup Date Complete;
 - Test Availability/Readiness Date; and
 - Summary Count of Over-due Items.

APPENDIX C.I: SCHEDULE G DATA TRANSITION PLAN

Instructions: Each Contractor is required to submit a Data Transition Plan as part of the Detailed Project Plan. The Contractor may choose format, structure, and content as long as it, at a minimum, contains the required basic information and is importable into MS-Excel or MS-Project, version to be agreed upon by DMAS.

1. Planned Summary Information:

- Facility/Data Center Location;
- Platform/Task;
- Planned Extract Load Receipt Date;
- Planned Extract Load Completion Date;
- Planned Load Validation Completion Date; and
- Planned Test/Availability Readiness Date.

2. Actual Detail Information:

- Facility/Data Center Location;
- Platform/Task;
- Target Database/File;
- Actual Extract Load Completion Date;
- Actual Load Validation Completion Date (including turning on database constraints);
- Actual Test/Availability Readiness Date; and
- Summary Count of Over-due Items.

APPENDIX C.I: SCHEDULE H DOCUMENTATION TAKEOVER AND UPDATES PLAN

Instructions: Each Contractor is required to submit a Documentation Takeover and Updates Plan as part of the Detailed Project Plan. The documents are currently handled by document management systems. The contractor may choose format, structure, and content as long as it, at a minimum, contains the required basic information and is importable into MS-Excel or MS-Project version to be agreed upon by DMAS.

1. Planned Summary Information:
 - Document Type (scanned images and documents, operational and technical processes such as system documentation, operational procedures, and user guides);
 - Document Title;
 - Planned Receipt Date;
 - Planned Update Completion Date; and
 - Planned Publication Review Availability Date.
2. Actual Detail Information:
 - Document Title;
 - Document Version;
 - Actual Receipt Date;
 - Actual Update Completion Date;
 - Actual Publication Review Availability Date; and
 - Summary count of over-due items.

Appendix C.I: Schedule I Risk Management Plan

Instructions: Each Contractor is required to submit a Risk Management section as part of the Detailed Project Plan. The Risk Management Plan must include the following:

Risk Management Section – This section contains 7 steps in the Risk Management process the contractor must undertake for the Takeover phase.

1. Risk Identification – Describe the process for risk identification.
2. Risk Evaluation and Prioritization – Describe how risks are evaluated and prioritized.
3. Risk Mitigation Options – Describe in general terms the risk mitigation options.
4. Risk Management Plan Maintenance – Describe method for maintaining or updating the risk management plan.
5. Risk Management Responsibilities – Identify individuals with specific risk management responsibilities.
6. Incorporate Risks into a Risk Analysis Summary that follows this format:
 - Column 1 is Risk Number
 - Column 2 is Risk Name
 - Column 3 is Probability of Occurrence (%) (Note 1)
 - Column 4 is Impact Level (Note 2)
 - Column 5 is Impact Description
 - Column 6 is Time Frame (Note 3).
7. Incorporate Risks responses into a Risk Response Summary that follows this format:
 - Column 1 is Risk Number
 - Column 2 is Risk Name
 - Column 3 is Responsible Person
 - Column 4 is Mitigation Action (s)
 - Column 5 is Response Trigger.

Notes:

Note 1: Probability of Occurrence is the percentage of likelihood that the risk will occur (0 - 100%).

Note 2: Impact level is a score of one to five. One is the least impact and five is the highest impact.

Note 3: Provide the time frames in months.

Risk Management Contingency Section – This section includes IT system and data backup and restoration planning for the Takeover phase. The following areas are to be included:

- Accurate and complete backups;
- Tested restoration practices; and
- Off-site storage.

Appendix: Schedule J Quality Management Plan

Instructions: Each Contractor is required to submit a Quality Management section as part of the Detailed Project Plan. This Quality Management Plan addresses the Takeover Phase. The plan must include the following:

1. Quality Management Overview – This section discusses the approach the contractor is taking to ensure quality into the project.
2. Product Testing – Gives a description of plans for testing any products developed as part of the Takeover project. This section can also refer to detail included in the Test Plan deliverable.
3. Product Testing Schedule – This section includes the testing milestones, the scheduled date, and the person (s) responsible for testing. These activities are included in the Master Project Plan.
4. Project Team Responsibilities – This section identifies project team responsibilities in general and cross references the MS-Project work plan and the resource plan. Any quality assurance responsibilities are listed.
5. Testing Resource Requirements – This section cross references the information in the project resource plan and MS-Project work plan.
6. Project Audit (Contractor) – Describe project audit activities including audit overview, audit schedule, team responsibilities, and resource requirements.
7. Independent Verification and Validation (IV&V) – Provide a description for accommodation and corrective action to any findings by the IV&V team's audit of the project. DMAS will procure IV&V services for the project from a VITA-approved contractor.
8. Schedule of Activities to Accommodate IV&V Activities – This section will use the Major Phases, Milestones, and Deliverable chart to schedule activities to accommodate IV&V corrective action and testing requirements.
9. Project Team Responsibilities – This section identifies project team responsibilities to carry out IV&V support.

APPENDIX C.I: SCHEDULE K CHANGE MANAGEMENT PLAN

Instructions: Each Contractor is required to submit a Change Management (CM) section as part of the Detailed Project Plan. The Change Management section contains two separate plans: Takeover Phase plan and Operations Phase plan.

The Takeover Phase Change Management Plan includes change control for the Takeover phase only and must include the following items:

1. Transition Change Management Overview – This section describes the approach the contractor is taking to manage the configuration of platform hardware, software (both COTS and custom applications), documentation, and MMIS data.
2. Hardware Change Management –This section describes the approach, plans, and processes for controlling hardware configurations (platforms, network, and telecommunications) used in support the Virginia Medicaid Enterprise. Also include the maintenance and update of documentation of components. An overview can be provided in this document if the Contractor already has a separate plan for the platforms, networks, and COTS/System Hardware.
3. COTS Software Change Management – This section describes the approach, plans, and processes for controlling COTS software configurations (operating systems, system utilities, compilers, document management systems, database software, development tools, third party integration packages, etc.) used in support the Virginia Medicaid Enterprise. Also include the maintenance and update of documentation of components. An overview can be provided in this document if the Contractor already has a separate plan for COTS.
4. Custom Application Software Change Management – This section describes the approach, plans, and processes for controlling custom software configurations (MMIS applications, Web Portal applications, document management applications, database objects, etc.) used in support of the Virginia Medicaid Enterprise. Also include the maintenance and update of documentation of components. An overview can be provided in this document if the Contractor already has a separate plan for custom applications software.
5. Data Change Management – This section describes the approach, plans, and processes for controlling data loads from the current MMIS into target databases, files, and document management systems as well as subsequent data and integrity validations.

6. Documentation Change Management – This section describes the approach, plans, and processes for controlling updates to current MMIS operational, procedural, operational and technical documentation.
7. Interfaces Change Management – This section describes the approach, plans, and processes for controlling all systems interfaces from the current MMIS to external MMIS components, COV agencies, and Commercial Trading Partners.
8. Environments – This section describes technical development environments, tool sets, migration paths, and promotion criteria used for quality assurance during the transition period. This section should also contain a description on transitioning/expanding these environments into the operational change management configurations.
9. Configuration Audit (contractor): – This section describes configuration audit activities including Audit Overview, Audit Schedule, Team Responsibilities, and Resource Requirements.
10. Training – This section describes training plans for technical staff on CM processes and the technical environments.

The Operations Phase Change Management (CM) Plan addresses change control after the takeover phase is completed. The DMAS CM plan focuses on application change control. CM responsibilities associated with hardware, systems software, and COTS software is the responsibility of the contractor. An overview can be provided in this document if the Contractor has a separate plan for the platforms, networks, and COTS/System Software that includes:

1. Operational Change Management Overview – This section discusses the approach the contractor is taking to integrate Contractor CM Plan and processes with the DMAS CM Plan and processes that are targeted toward application Change Management.
2. Hardware Change Management –This section describes the approach, plans, and processes for controlling hardware configurations (platforms, network, and telecommunications) used in support of the Virginia Medicaid Enterprise. Also include the maintenance and update of documentation of components. An overview can be provided in this document if the Contractor already has a separate plan for the platforms, networks, and COTS/System Hardware.
3. COTS Software Change Management – This section describes the approach, plans, and processes for controlling COTS software

configurations (operating systems, system utilities, compilers, document management systems, database software, development tools, third party integration packages etc.) used in support of the Virginia Medicaid Enterprise. Also include the maintenance and update of documentation of components. An overview can be provided in this document if the Contractor already has a separate plan for COTS.

4. Custom Application Software Change Management – This section describes the DMAS/Contractor integrated processes for controlling custom software configurations (MMIS applications, Web Portal applications, document management applications, database objects etc.) used in support the Virginia Medicaid Enterprise. Also include the maintenance and update of documentation of components. An overview can be provided in this document if the Contractor already has a separate plan for custom applications software.
5. Documentation Change Management – This section describes the DMAS/Contractor integrated processes for controlling updates to current MMIS operational, procedural, operational and technical documentation.
6. Environments – This section describes technical development environments, tool sets, migration paths, and promotion criteria used for quality assurance. Also described are support, maintenance, and use of the environments.
7. Training – This section describes training plans for periodic refresh training of technical staff on CM processes and the technical environments.

Appendix C.I: Schedule L Security Plan

Instructions: Each Contractor is required to submit a Takeover Phase Security Plan section as part of the Detailed Project Plan. The Takeover Phase Security Plan must include, as a minimum, the following:

- Security with Administration for all proposed networks and platforms during the Takeover Phase;
- Responsibilities of key information security positions during the Takeover Phase;
- Incident monitoring and reporting during the Takeover Phase;
- Physical Security for all proposed facilities during the transition time period; and
- Information security/access control for all proposed applications to include a transition plan for user IDs/passwords, role-based security, and CA ACF2 cluster rules. CA ACF2 is a security product for z/OS and z/VM environments—including z/OS UNIX and Linux for zSeries—with built-in, comprehensive administrative and reporting tools, along with detailed event logging capabilities.

APPENDIX C.II: TEST PLAN

Instructions: Each Contractor is required to develop a Test Plan. Sections of the plan need to be in accordance with the Major Milestone Schedule (Schedule A). The Test Plan must follow this outline:

1. Executive Summary – This section summarizes at the executive level the Contractor's test plan for the Takeover Phase.
2. Approach – This section states the Contractor's approach to a Test Plan.
3. Types of Tests – This section identifies the types of testing to be conducted by the Contractor.
 - Unit Tests
 - System Tests
 - Integration / Interface Tests
 - EDI Interface Tests (if applicable)
 - Parallel and Volume Tests
 - User Acceptance and Operational Readiness Tests
 - Accommodation of Independent Verification and Validation Tests (External Contractor)
4. Details Required for Each Type of Test – The following information is required for each type of test to be conducted.
 - Test type name
 - Test period / schedule
 - Test environments
 - Persons (s) responsible for the test
 - Number and type of test case builds and acceptance criteria
 - Test outcome and test validation method
 - Defect correction management
 - Test results tracking and management reporting
 - Quality assurance process
 - Test approval and sign off process

APPENDIX C.III: TRAINING PLAN

Instructions: Each Contractor is required to submit a Training Plan for the Takeover Phase to the new contract as a part of the Detailed Project Plan. The Training Plan contains two separate plans: Takeover Phase plan and Operations Phase plan. The plans must be in accordance with the Major Milestone Schedule (Schedule A). The following outline provides key information that must be included in the Training Plan:

The Training Plan for the Takeover Phase must include the following:

1. Executive Summary – This section summarizes the Contractor’s training plan for the Takeover Phase.
2. Approach – This section states the Contractor’s approach to a Training Plan.
3. Training Needs – This section identifies the various groups for which training may be required and conducted by the Contractor.
 - Contractor staff
 - DMAS staff
 - Participating Medicaid providers
 - Other stakeholders (such as: Associations and other state agencies).
4. Details of Training to be Provided
 - Part A- During Takeover Phase:
 - Mechanisms and vehicles for conducting training;
 - Facilities, accommodations, and tools;
 - Training resources required;
 - Frequency and schedule;
 - Training materials and content; and
 - Expected DMAS participation.
5. Major areas to be covered in the Contractor's Training Plan include:
 - All new business operational practices;
 - All new applications;
 - All new content management software;
 - Any new Change Management (CM) standards for preparing deliverable documents such as Impact Assessments, Test Plans, and Test Documentation.

The Training Plan for the Operations Phase must include the following:

1. Executive Summary – This section summarizes the Contractor’s training plan for the Operations Phase.

2. Approach – This section states the Contractor’s approach to a Training Plan.
3. Training Needs – This section identifies the various groups for which training may be required and conducted by the Contractor.
 - Contractor staff
 - DMAS staff
 - Participating Medicaid providers
 - Other stakeholders (such as: Associations and other state agencies).

4. Details of Training to be Provided

Part B - During Operations Phase:

- Mechanisms and vehicles for conducting training;
 - Facilities, accommodations, and tools;
 - Training resources;
 - Frequency and schedule;
 - Training materials and content; and
 - Expected DMAS participation.
5. Major areas to be covered in the Contractor's Training Plan include:
 - Administrative support services;
 - Claims control;
 - Data entry, including computer media and OCR;
 - MMIS files, programs, outputs, and tables;
 - Each of the MMIS subsystems and other applications;
 - Use of the content management software;
 - Business Operational practices (mailings, ID cards, financial, pharmacy etc.);
 - Any enhancements purchased; and
 - Change Management (CM) Standards for preparing deliverable documents such as Impact Assessments, Test Plans, and Test Documentation.

Appendix C.IV: Project Implementation Plan

Instructions: Each Contractor is required to develop with DMAS input a Project Implementation Plan sixty (60) days before the implementation. The Project Implementation Plan is a cutover from the previous production environment to the new production environment. The plan should include the following:

1. Updated Project Work Plan – An MS-Project work plan identifying key milestones for the Implementation Plan.
2. Detailed Scripted Activities Chart – A detailed scripted activities chart identifying the start date, time, activity, person responsible, completion date, completion time, and output to be validated that the implementation activity was successful. The Detailed Scripted Activities Chart must be synchronized with a DMAS Master Activities chart, so that any prerequisites can be monitored.
3. Issues Log – A log tracking any issues and their resolutions generated during the Implementation.
4. Escalation Section – Procedures and chain of command for escalation of issues.
5. Implementation Team Section – Implementation team list with contact information.
6. Management Post-Implementation Report – Summary report of events, key issues, contingencies implemented, and results.

Appendix C.V: Project Closeout Report

Instructions: The Project Closeout Report is a DMAS Deliverable. Each Contractor is required to participate in the development of a Project Closeout Report. Closeout begins when DMAS accepts the project deliverables and the project oversight committee concludes that the project has met the goals established. The plan must include the following:

1. Lessons Learned – The Contractor will participate in a lessons learned effort conducted by the project management team. Based on user and project team feedback, the Contractor will provide input on what project events and practices resulted in a positive impact and what project events and practices resulted in a negative impact.
2. Project Closeout Transition Checklist – The Project Closeout Checklist provides a vehicle to verify completion of project phase deliverables. The checklist focuses on completion of tasks and satisfying acceptance criteria. The checklists are also used to close out open issues or transfer them to the Information Service Request (ISR) inventory.

Appendix C.VI: Project Evaluation

Instructions: As part of the VITA Project Evaluation, the Post Implementation Review (PIR) document is a DMAS deliverable. Each Contractor is required to participate in the development of a Project Evaluation and provide input for the Post Implementation Review document. The PIR is produced approximately 1-year after Implementation. The PIR includes the following:

1. Cover Page
2. Title
3. Organization or Agency
4. Date
5. Author's Name
6. Address
7. Phone Number
8. Email Address
9. Table of Contents
10. Executive Summary
11. Introduction
12. Background
13. Post Implementation Review Process or Methodology
14. Project Proposal
15. Project Charter
16. Findings

Appendix C.VII: Quality Management Plan - Operations

Instructions: Each Contractor is required to submit a Quality Management Plan during the Operations Phase. The plan must include the following:

1. Quality Management Approach - This section discusses the approach the Contractor is taking to ensure quality is integrated into the practices, business processes, and support services provided to DMAS and its stakeholders. The Quality Plan must include compliance with Service Level Agreements. The approach should be a high level summary of the areas where quality is addressed.
2. Quality in Account Management and Customer Services
 - Identify goals and objectives for services
 - Identify problem resolution and escalation procedures
 - Identify any metrics used to measure quality.
3. Quality in Technical Services
 - Identify roles and responsibilities
 - Identify change management plan owner
 - Describe approach to Systems Quality Assurance and testing
 - Identify any metrics used to measure quality.
4. Quality in Operational Services
 - Identify goals and objectives for services
 - Identify roles and responsibilities
 - Describe approach to Quality Assurance in operations
 - Identify any metrics used to measure quality.
5. Quality in Documentation Management
 - Identify goals and objectives for services
 - Identify roles and responsibilities
 - Describe approach to ensuring quality
 - Identify any metrics used to measure quality.
6. Quality in Training
 - Identify goals and objectives for services
 - Identify roles and responsibilities
 - Describe approach to ensuring quality
 - Identify any metrics used to measure quality.
7. Quality Tools and Tracking to SLAs - Identify any tools used to assist in quality management. In addition, performance tracking to Service Level Agreements must be included.

8. Periodic Contractor Reviews - Identify process to address semi-annual feedback from Contractor reviews.

APPENDIX C.VIII: DOCUMENT/DOCUMENTATION MANAGEMENT PLAN

Instructions: Each Contractor is required to submit a Document/Documentation Management Plan during the Operations Phase. The following outline provides key information to be reported, but the exact format, presentation, and reporting frequency will be finalized during the Takeover Phase.

1. Introduction/Approach – This section summarizes at the executive level the Contractor’s approach for providing and supporting an integrated document/documentation management repository during the Operations Phase.
2. Technical Infrastructure – This section addresses the Contractor’s approach to establishing and maintaining the hardware and software infrastructures.
 - Hardware
 - Provisioning details and topology diagram
 - Document storage media (optical, disk, tape, etc.)
 - Image formats to be utilized and supported
 - Storage back-up and archiving plan
 - Plan for capacity planning function to support SLA
 - Change control plan for hardware infrastructure upgrades and maintenance
 - Recommendation and plan for test environment.
 - Software
 - New release/upgrade and maintenance strategy
 - Document/image versioning and audit trail strategy
 - Standard and advanced search capability description
 - Recommendation and plan for test environment.
 - Interface Description
 - Primary user interface definitions
 - Methods and approaches to interfacing MMIS artifacts to central document repository
 - Tools, utilities, and customized interfaces utilized.
3. Disaster Recovery Plan (integration into overall DR Plan)
4. Service Level Agreement (compliance with all appropriate SLA requirements)
5. Availability
 - Response Times
 - Problem Resolution.

6. Management Reporting and Change Control

- Inventory reporting with respect to stored documents and images to include adds, changes, deletes as well as historical reporting
- Plan to insure timely updating of system documentation in accordance with DMAS policies and procedures for ISR completion and quarterly releases
- Plan to insure timely updating of all user operational documentation in accordance with DMAS policy and user operational procedure changes.

Appendix C.IX: Communications and Performance Reporting Plan

Instructions: Each Contractor is required to submit a Communications and Performance Reporting Plan prior to the start of the Operations Phase. The following outline provides key information to be reported, but the exact content, format, presentation, and reporting frequency will be finalized during the Takeover Phase.

1. Communications – Create a matrix that identifies communications to stakeholders. The matrix will include such items as stakeholder name, communication media (for example, web, newsletter, or status report), frequency of communications, and responsibility.
2. Contractor Performance Reporting – This plan addresses weekly reporting in the Operations Phase by each Contractor and includes content such as reporting period summary, metrics, plans for next reporting period, application support metrics (ISRs), operations metrics, number of full-time employees, and issues needing management attention.

Appendix C.X: Turnover Plan

Instructions: Each Contractor is required to submit a Turnover Plan at the end of the Operations Phase. The following outline provides key information to be included:

- Turnover Plan Executive Summary - Includes turnover approach, scope and schedule (milestones, tasks, and activities) that meet turnover requirements.
- Turnover Team – Resource team dedicated to Turnover tasks.
- Resource Requirements Statement - Includes resources that will be required by DMAS or other contractors to assume operation of the MMIS components.
- Turnover Detailed Organization Chart – This detailed organization chart is the organization that has supported the MMIS component over the prior 12-month period leading up to Turnover.
- Software Inventory of Turnover Components – This is the inventory of all software used to support the contractual requirements.
- Hardware Inventory of Turnover Components - This is the inventory of all hardware used to support the contractual requirements.
- Turnover Results and Status Report - Includes the result and status of each task of the Turnover Plan, issues and risks.
- Turnover Final Letter - Letter from the Contractor stating the final Turnover is complete.

Appendix C.XI: Security Plan

Instructions: Each Contractor is required to submit a Security Plan prior to the Operations Phase. The following outline provides key information to be included:

1. Security administration for all proposed networks and platforms:
 - Computer and data security policies and responsibilities
 - Physical security policies, equipment use, inventory and audit, and network access
 - Software policies, copyright, COTS change management controls, platform systems software, distributed systems.
2. Responsibility of key information security positions:
 - Details of security roles and responsibilities.
3. Incident monitoring and reporting:
 - Incident monitoring, violation reporting and notification
 - Manages responses and security follow-up.
4. Physical security for all proposed facilities:
 - Facility access controls to buildings and spaces; power, HVAC (Heating Ventilation Air Conditioning), and fire detection/suppression
 - Physical access management
 - Environmental controls.
5. Information security/access control for all proposed applications:
 - Security software for all proposed platforms
 - Information access management (logon ID procedures) for all proposed platforms, databases, and applications.

APPENDIX C.XII: RISK MANAGEMENT PLAN

Instructions: Each Contractor is required to submit a Risk Management Plan prior to the Operations Phase. The following outline provides key information to be included:

Risk Management Plan – The plan must address the IT Risk Areas and comply with the following references:

- HIPAA Security Rule, 45 CFR Parts 160, 162, and 164 Health and Insurance Reform: Security Standards: Final Rule, February 20, 2003 (or later);
- COV ITRM Standard SEC501-01 dated July 1, 2007 (revised) (or later); and
- DMAS policies.

1. Risk Management includes:

- IT Security Roles and Responsibilities;
- Business Impact Analysis;
- IT System and Data Sensitivity Classification;
- Sensitive IT System Inventory and Definition;
- Risk Assessment; and
- IT Security Audits.

2. Business Risk Management includes:

- Fraud;
- Facilities;
- Privacy; and
- Legal or Regulatory Liability.

3. IT Contingency Planning includes subsidiary plans for the following:

- Continuity of Operations Planning;
- Disaster Recovery Planning; and
- IT System Backup and Restoration:
 - Backup plan for all proposed platforms and databases
 - Backup and recovery controls (frequency, storage, security, off-site storage plans).

APPENDIX C.XIII: SLA REPORTING APPLICATION

Each Contractor will be required to provide an SLA Reporting Application. The SLA Reporting application requirements will be finalized during the Takeover Phase. The SLA Reporting Application requirements include:

- Reporting capability for all defined SLAs for contractor services;
- Developed reports or COTS packages can be used to provide a solution;
- Reporting results must be able to be audited by DMAS;
- Reporting results must be kept for contractual term; and
- Application must be able to accommodate evolving SLAs.

APPENDIX C.XIV: DISASTER RECOVERY PLAN

Each Contractor will be required to provide an IT Disaster Recovery Plan prior to the Operations Phase.

The following outline provides key information to be included:

IT Disaster Recovery Plan (DRP) - The plan must address the steps necessary to provide for the restoration of essential business functions on a schedule that supports DMAS' mission requirements and comply with the following references:

- HIPAA Security Rule, 45 CFR Parts 160, 162, and 164 Health and Insurance Reform: Security Standards: Final Rule, February 20, 2003 (or later);
- COV ITRM Standard SEC501-01 dated July 1, 2007 (revised) (or later);
- COV ITRM Guideline SEC508-00 dated April 18, 2007 (or later); and
- DMAS policies.

IT DRP Components include:

- Purpose, Applicability, and Scope;
- Operational Plan Components
 - System Description,
 - Decision Making Succession,
 - Recovery Teams and Responsibilities,
 - Communications Channels.
- Plan Activation
 - Damage and Impact Assessment,
 - Activation Criteria,
 - Activation Procedures.
- Procedures for Recovery.
- Procedures for Return to Normal Operations.
- Plan Deactivation
 - Equipment and Material Removal,
 - Reporting and Revision.
- Appendices (recommended)
 - Personnel Contact List,
 - Vendor Contact List,
 - Customer Contact List,
 - Internal and External Agreements,
 - Standard IT System Operating Procedures.

IT DRP Periodic Review includes:

- Annual review or more often as necessary; and
- Revisions to reflect changes in essential business functions, system hardware/software, and personnel.

IT DRP Periodic Exercise includes:

- Exercise Planning
 - Test Scenario Scripts,
 - Evaluation Criteria,
 - Participants Roles and Responsibilities,
 - Evaluator Roles and Responsibilities.
- Exercise Execution,
- Exercise Evaluation.

IT DRP Periodic Training includes:

- All disaster recovery team members must be trained in IT DRP execution.

IT System and Data Backup and Restoration Planning includes:

- Accurate and Complete Backups;
- Tested Restoration Practices;
- Off-Site Storage;
- Performance of Backups and Restoration by Authorized Staff; and
- Backup and Restoration Plan during Emergency Operations.

APPENDIX C.XV: CONTINUITY OF OPERATIONS PLAN

Each Contractor will be required to provide a Continuity of Operations Plan (COOP) that relates to the services or functions provided by them under this contract.

The following outline provides some key information to be included:

Continuity of Operations Plan - The purpose of the COOP plan is to provide the framework to restore essential functions in the event of an emergency that affects the Contractor's operations. The following references are provided:
Governor Kaine's Executive Order 44 (2007) effective January 12, 2007,
(http://www.governor.virginia.gov/Initiatives/ExecutiveOrders/pdf/EO_44.pdf)
Continuity of Operations (COOP) Plan Template for Executive Branch Agencies dated March 2008,
(<http://www.vaemergency.com/library/coop/resources/COOPPlanningTemplatev2.doc>)
Virginia Department of Emergency Management (VDEM) COOP Resources
(<http://www.vaemergency.com/library/coop/resources/index.cfm>)
COV ITRM Standard SEC501-01 dated July 1, 2007 (revised) (or later); and
DMAS policies.

VDEM created the COOP plan template to help achieve the objectives of COOP planning and to provide guidance which the Contractor needs to include in its COOP plan to include the following:

- Privacy Statement
- Record of Changes
- Executive Summary
- Introduction
- Purpose
- Applicability and Scope
- Authorities
- References
- Situation
- Assumptions
- Organization and Assignment of Responsibilities
 - Key Personnel
 - Personnel Contact List
 - External Contacts
 - COOP Plan Implementation Responsibilities
 - Personnel Relations/Family Preparedness Planning
- Concept of Operations
- Essential Functions

The COOP Plan addresses three scenarios that invoke contingency plans:

- Scenario 1: Loss of Access to a Facility
 - Assumptions

- COOP Alert and Notification
 - COOP Plan Implementation
- Scenario 2: Loss of Services Due to a Reduction in Workforce
 - Assumptions
 - COOP Alert and Notification
 - COOP Plan Implementation
- Scenario 3: Loss of Services Due to Equipment or System Failure
 - Assumptions
 - COOP Alert and Notification
 - COOP Plan Implementation

Additional Requirements:

- Orders of Succession
- Delegations of Authority
- Alternate Facility Locations
- Go Kits (Items for a possible power outage. A duffle bag or backpack of foods that don't require refrigeration or cooking, such as canned goods, as well as bottled water, flashlights with extra batteries, a first-aid kit and battery-powered radio).
- Multi-Year Strategy and Program Management
- Training, Testing, Exercises, and Evaluation
- COOP Plan Maintenance
- Acronyms and Definitions
- Example Appendices
 - Appendix A: Personnel Contact List (rapid recall list)
 - Appendix B: Essential Functions
 - Appendix C: Mode of Communication
 - Appendix D: Orders of Succession
 - Appendix E: Delegations of Authority
 - Appendix F: Vital Records, Systems and Equipment
 - Appendix G: Alternate Locations
- Example List of Tables
 - Table 1 - Level of Emergency and Decision Matrix
 - Table 2 - Essential Functions
 - Table 3 - Orders of Succession
 - Table 4 - Delegations of Authority
 - Table 5 - COOP Alternate Facility Location Sites
 - Table 6 - COOP Team
 - Table 7 - COOP Plan Maintenance Table